

November 15, 2017

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RE: Herkimer County, New York
Assessment Grant Proposal
Fiscal Year 18 EPA Brownfields Program
Community-Wide Petroleum Proposal

Dear Ms. Theodoratos,

On behalf of Herkimer County, New York, it is our pleasure to submit the enclosed application for the Community-Wide Brownfields Assessment Grant. Herkimer is applying for \$200,000 of funding to be used for publicly and privately owned properties containing petroleum contamination. Our intention for this project is to evaluate and select several of the numerous brownfields blighting Herkimer County for remediation and redevelopment and to return them to productive use to reinvigorate and beautify the County's urban communities.

a. **Applicant Identification:** Herkimer County Industrial Development Agency
420 E. German Street, Suite 101A
Herkimer, New York 13350

b. **Funding Requested:** _____
i) **Grant Type:** Assessment
ii) **Assessment Grant Type:** Community-wide
iii) **Federal Funds Requested:** \$200,000
iv) **Contamination:** Petroleum

c. **Location:** Urban communities along the Mohawk River, such as Herkimer, Little Falls, Ilion, German Flatts, Dolgeville, Mohawk and Frankfort, in Herkimer County, New York. Herkimer County is located at the foothills of the Adirondack Mountains in central New York, approximately 75 miles northwest of the state capital of Albany. It is an area rich in both history and economic development opportunities for the future.

d. Property Information for Site-Specific Proposals: N/A

e. Contacts:

i) Project Director:

Stephen R. Smith, Executive Director
Herkimer County Industrial Development
Agency
420 E. German Street Suite 101A
Herkimer, NY 13350
315-866-3000
Email: ssmith@herkimercountyida.org

**ii) Chief Exec. /Highest Ranking
Elected Official:**

James W. Wallace, Jr.
Herkimer County Administrator
109 Mary Street
Suite 1204
Herkimer, New York 13350
Phone: 315-867-1112

f. Population:

- i) General Population of Herkimer County: 63,744
- ii) This is a County form of government
- iii) Poverty has not exceeded 20% during the past 30 years

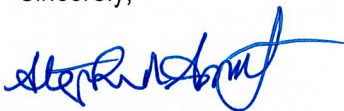
g. Regional Priorities Form/Other Factors Checklist: See attached Appendix 3

h. Letter from the State or Tribal Environmental Authority

See attached letter from the New York State Department of Environmental Conservation

Thank you for your time and review of our application. If you should have any questions, or if we can provide you with any additional information or clarification, please do not hesitate to contact Steve Smith at 315-866-3000.

Sincerely,



Stephen R. Smith
Project Director

Attachments:

Regional Priorities Form/Other Factors Checklist - Appendix 3
Letter from the State of NY Dept. of Environmental Conservation

Appendix 3 - Regional Priorities Form/Other Factors Checklist

Name of Applicant: Herkimer County, New York

Regional Priorities Other Factor

If your proposed Brownfields Assessment project will advance the regional priority(ies) identified in Section I.F., please indicate the regional priority(ies) and the page number(s) for where the information can be found within your 15-page narrative. Only address the priority(ies) for the region in which your project is located. EPA will verify these disclosures prior to selection and may consider this information during the selection process. If this information is not clearly discussed in your narrative proposal, it will not be considered during the selection process.

Regional Priority Title(s):

Extreme Weather Resiliency

Page Number(s): 7 and 11

Assessment Other Factors Checklist

Please identify (with an **X**) which, if any, of the below items apply to your community or your project as described in your proposal. To be considered for an Other Factor, you must include the page number where each applicable factor is discussed in your proposal. EPA will verify these disclosures prior to selection and may consider this information during the selection process. If this information is not clearly discussed in your narrative proposal or in any other attachments, it will not be considered during the selection process.

Other Factor	Page #
<i>None of the Other Factors are applicable.</i>	
Community population is 10,000 or less.	
The jurisdiction is located within, or includes, a county experiencing “persistent poverty” where 20% or more of its population has lived in poverty over the past 30 years, as measured by the 1990 and 2000 decennial censuses and the most recent Small Area Income and Poverty Estimates.	
Applicant is, or will assist, a federally recognized Indian tribe or United States territory.	
Target brownfield sites are impacted by mine-scarred land.	
Project is primarily focusing on Phase II assessments.	
Applicant demonstrates firm leveraging commitments for facilitating brownfield project completion, by identifying in the proposal the amounts and contributors of resources and including documentation that ties directly to the project.	11
Applicant is a recipient of an EPA Brownfields Area-Wide Planning grant.	

NEW YORK STATE DEPARTMENT OF ENVIRONMENTAL CONSERVATION

Division of Environmental Remediation, Bureau of Program Management
625 Broadway, 12th Floor, Albany, NY 12233-7012
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www.dec.ny.gov

NOV 01 2017

Mr. Steve Smith
IDA of Herkimer County
PO Box 390
Mohawk, NY 13350

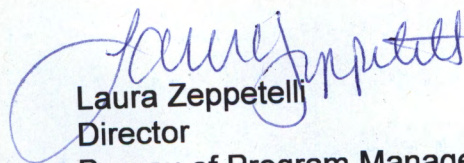
Dear Mr. Smith:

This is to acknowledge that the New York State Department of Environmental Conservation (Department) received a request dated October 24 from the County's consultant, HRP Associates, Inc., for a state acknowledgement letter for United States Environmental Protection Agency (USEPA) Brownfield grants.

I understand that the County plans to submit two EPA Brownfield Assessment Grant Proposals, each in the amount of \$200,000: a community wide hazardous substance grant and a community wide petroleum grant.

The Department encourages initiatives to redevelop brownfields with the goal of mitigating any environmental and health impacts that they might pose.

Sincerely,



Laura Zeppetelli
Director
Bureau of Program Management

cc: T. Wesley, USEPA Region 2
G. Burke/A. Fleck/R. Mustico, NYSDEC



Department of
Environmental
Conservation

1. COMMUNITY NEEDS

a. Targeted Area and Brownfields:

i. Community and Target Area Descriptions

Herkimer County is a rural County located in central New York State along the Mohawk River. Steeped in history and rich industrial roots, the County has hosted thriving mining, firearms and manufacturing companies since the early 19th century. The construction of the Erie Canal through Herkimer County in the mid-1800s vaulted the area and state into a world leader in design, engineering, technology and entrepreneurial dominance. As the County's manufacturing base grew, the population more than quadrupled from 1800 to its peak in 1970. However, with the end of the Cold War, the County saw the beginning of severe economic downturn with the closing of two huge economic drivers: Griffiss Air Force base, eliminating nearly 6,000 civilian and military jobs, followed closely by the closure of a nearby Lockheed Martin facility. Another severe downturn starting in the 1980s, caused by globalization eventually led to the failure and closure of numerous industrial facilities through the 1990s including: Duofold in Mohawk and Ilion (~100 jobs); Chicago Pneumatic Tool Company and Union Fork and Hoe in Frankfort (~75 jobs); Lasalle Labs of Little Falls (~350 jobs); H.M. Quackenbush of Herkimer (~90 jobs); and Daniel Green Slippers of Dolgeville (~400 jobs). Job loss has continued for the County, losing ~643 jobs (3.8% of total jobs) from 2006 to 2011, where manufacturing has been hit especially hard with a loss of ~457 jobs (15.7% of the County's manufacturing jobs). Most recently, Remington Arms, a manufacturer of firearms laid off ~226 workers at its Ilion facility in 2014, due to the recent passage of state gun control legislation. Remington is building a new plant in Alabama and is planning to hire ~2,000 employees there, likely leading to the closure of the Ilion facility that could result in a loss of ~2,000 local, high-paying jobs. The County received another severe economic blow in June 2013 when continuous rain impacted flood areas along the Mohawk River causing at least \$12 million in damage to infrastructure including damage to, or complete destruction of, electric substations, water systems, wastewater treatment plants, roads, bridges, homes, senior living facilities, schools, and municipal buildings.

Due to the County's relatively small population (63,744) and job base (12,000), the closure of these plants has caused significant job loss and population decline particularly among the region's most educated and skilled workers. In turn, job and population loss has caused home value stagnation; migration of young educated workers as they seek opportunity elsewhere; increasing poverty, especially among children and high levels of working poor; high levels of teenage pregnancy; and an eroding tax base that is struggling to meet the needs of its citizens.¹

The Village of Herkimer, in Herkimer County, an urbanized area of 2.5 square miles located on the Mohawk River, is an example of the County's decline. Once a thriving manufacturing center, the village is littered with abandoned industrial buildings that are surrounded by residences of workers who once worked in these industries. Today the village has high poverty rates especially in families with children, low medium income and an aging population. The village is one of the most unsafe cities in the State of New York. There are only five other cities in the state with a higher per capita crime rate.²

¹ Source: <http://www.bridgespan.org/getmedia/4ab6d766-cce4-446b-87b0-6979f2dbc09e/Community-Collaboratives-CaseStudy-Herkimer.pdf.aspx> Source: <https://www.roadsnacks.net/worst-places-to-live-in-new-york-state/>

² Source: <https://www.roadsnacks.net/worst-places-to-live-in-new-york-state/>

Without the necessary commercial foundations, the County tax base will continue to erode and place the County under increased economic distress. The County intends to conduct an area-wide assessment to identify and assess brownfields located in its decaying urban centers and waterways in communities such as Ilion, Dolgeville, Frankfort, Village and Town of Herkimer, and Little Falls. Presently, Herkimer County is not able to inventory, assess and ultimately redevelop brownfields without the additional financial support that this petroleum grant will provide.

According to the NYSDEC Bulk Petroleum Storage database, there are 425 facilities in Herkimer County that store petroleum. With the country's history of manufacturing using petroleum as a fuel or hydraulic fluid in addition to common commercial businesses (i.e., gasoline stations, automotive repair or retail businesses, and coal/oil distributors) the threat of a release of petroleum remains certain. As a matter of fact a review the NYSDEC spill data base reported that 259 releases of petroleum have been reported since 2014. Many of these releases are spills during transfer of product; however several of these releases are significant due to tank failure.

One of the largest petroleum release sites is the H.M. Quackenbush site which is centrally located in the Village of Herkimer. This 1.5 acre site, surrounded by residences and businesses, operated as a manufacturing facility from the 1860s to 2005 for the production of a wide range items including rifles and sport firearms to kitchen gadgets and seafood tools. During the removal of the facility's 10,000 gallon underground heating oil tank in 1995, it was determined that the tank leaked (NYSDEC Spill No. 95-05909). Subsequent investigations conducted as part of the leaking underground storage tank investigation documented extensive petroleum soil and groundwater contamination in the vicinity of the former tank, including benzene and six PAHs at concentrations that exceed the soil cleanup standard. The types of residual contaminants known and suspected at petroleum brownfield sites (i.e. VOCs, heavy metals, PAHs) are known to cause hemolytic anemia; nervous system damage; kidney damage; clotting disorders; liver, brain, and lung cancer; and reproductive damage/cancer. In addition, three of the five monitoring wells that were installed as a result of the tank investigation were observed to contain free product. The site is a significant blight on the downtown area as well as the neighboring residential neighborhood to the east. In addition, the property represents a significant threat to neighboring resident health, the west Canada Creek, and the regional water supply. It is important that potential impacts from the site to the West Canada Creek be mitigated since West Canada creek is one of the most renowned trout streams in central New York, providing anglers with good fishing for both brown trout and brook trout.

ii. Demographic Information and Indicators of Need

The demographic information illustrates an area that is in decline due to closure of manufacturing facilities that left brownfields in their wake. Data shows remarkable consistency in the County's loss of post-college and early-employment populations as they entered their twenties. By the time they reached the ages of 20 to 29, which represents primarily post-college and early employment ages, these age groups were reduced by 25%. All of these factors have caused a graying of the County's population, a high percentage of working poor and children in poverty, and little opportunity for the residents remaining.

	Village of Ilion	Village of Dolgeville	Village of Frankfort	City of Little Falls	Village of Herkimer	Town of Herkimer	Herkimer County	NY State	National
Population	8,053	2,075	4,011	2,726	7,743	6,480	63,744	19,746,227	318,857,056
Population Change % 2000-2010	(0.65)	(44.0)	2.1	(4.7)	(0.03)	2.1	0.1	2.1	9.7
Unemployment %	7.5	5.2	5.2	5.2	11.2	6.3	5.8	5.9	6.2
Poverty Rate %	18.7	13.8	12.6	22	24.9	20.4	15	15.3	15.4
Poverty Rate % Under 18 Years Old	28.7	28.9	25.6	33	37.7	30.3	22.8	21.7	21.6
Median Household Income (\$)	42,066	39,763	36,760	35,947	32,470	37,838	45,047	58,003	53,046
Housing Occupancy Vacant Units (%)	6.9	9.8	6.2	16.7	10.6	9.9	21.1	9.7	12.5
Source: Herkimer County, NY Median Household Income Census and Rank Source: Herkimer County Sub County Profiles 2014, Cornell University Cooperation Extension, 2013									

iii. Brownfields and Their Impacts

A review of the NYSDEC database indicated that there are 52 documented contaminated sites in Herkimer County, impacting over 450 acres. It is expected that the brownfield program will also identify numerous former auto repair and small manufacturing sites that have not yet been reported. These sites conducted metal plating, forging, stamping, parts washing, dying, and used a variety of hazardous materials. Contaminants associated with these processes (e.g. PCBs, VOCs, SVOCs, metals such as lead and mercury) have adversely impacted the County's soils, groundwater, surface water and soil gas. Many of these properties have sat idle and unused for years and have hindered redevelopment and economic growth in these communities. Most concerning are brownfield sites located in the Village of Herkimer due to their close proximity to residences. Example brownfield sites include:

- H.M. Quackenbush, Herkimer (1860s-2005) - Centrally located in the Village of Herkimer, this 1.5 acre site surrounded by residences and businesses, was operated for over a century for the manufacture of guns, nutcrackers and other finished metal products. Testing has determined the site exhibits elevated levels of metals and VOCs within the site's soils and groundwater. In addition, the building, which contains asbestos and metals residue on the walls due to plating, is in dilapidated condition with portions of the roof expected to collapse. The site is a keystone project for the Village due to its location and visibility and would be a catalyst for town center developers.
- Duofold, Ilion (1910-c.1994) - This 10-acre site, located in the Village of Ilion in a commercial and residential area, 500 feet from the Mohawk River, was used for the production of clothing, office furniture and typewriters. Sampling determined that site soils and groundwater are contaminated with chlorinated solvents and metals, respectively. The site's abandoned buildings, crumbling foundations, and vacant parking lots are not only an eyesore, but pose health and safety risks to the adjacent neighborhood and community and may attract vagrants and illegal activity. Once remediated, the site could be developed as greenspace to provide river access or affordable housing for the County's working poor.
- Union Fork & Hoe, Frankfort (1907-2006) - This 22-acre site, surrounded by a mix of industrial, commercial, and residential use buildings, has been used for industrial purposes for nearly 100 years including railroad operations and manufacturing of hand tools. Soil, groundwater and soil vapor contamination have been confirmed. Source removal work has been conducted and a treatment system installed on the municipal well field. However, VOCs in the groundwater may move into the soil vapor, which may in turn move into overlying buildings and adversely affect the indoor air quality. The potential for people to inhale site contaminants in indoor air due to soil vapor intrusion is hindering redevelopment. Once remediated, this property could be redeveloped into an

industrial complex to allow for new commercial and industrial businesses, such as suppliers to the new nanotech manufacturing activities. The environmental impacts from brownfields are evidenced by the detection of VOCs, metals and PCBs in the County's soils and groundwater. Since sampling has not been completed at all brownfield sites, and it is known that hazardous substances were historically used at many sites, the potential for additional contaminants including emerging contaminants such as 1,4 Dioxin, a known carcinogen, is likely. In addition, run-off from the brownfield sites has impacted the County's waterways, as evidenced by the NYSDEC NYS 303 (d) listing the Mohawk River and NYS Barge Canal System as being impacted by PCBs. In addition, it is reported that the NYS Department of Health is investigating a potential cancer cluster in the Kuyahoora Valley in the eastern section of the County due to an unknown source.³ Also, the potential exists for widespread soil gas contamination due to the historical improper disposal of solvent, especially due to the County's history of flooding.

b. Welfare, Environmental, and Public Health Impacts

i. Welfare Impacts

Numerous vacant buildings are littered throughout Herkimer County and concentrated within the Village of Herkimer. Of note, 21.1% of the housing units are vacant within Herkimer County, which is significantly above a rate of 12.7% within New York. More importantly, numerous former industrial brownfield sites are vacant. The immediate impact of vacant buildings and abandoned homes is blighted neighborhoods and decaying urban areas. Over time the structures become dilapidated and pose safety threats to the surrounding population, become homes to transients, are vandalized and occasionally set on fire. Police Chief Joseph Malone, of the Villages of Herkimer and Mohawk, stated that these vacant brownfield buildings have encouraged transients, drug use, vandalism, break-ins, and crimes including stealing of copper. This environment has fostered a crime rate within the village significantly above the national average in all crime elements. Surprisingly the village is rated as one of the most dangerous in New York State with a crime rate 160% above the national average (Village of Herkimer 446 per 1000 versus 277 per 1000 for the US).⁴ Chief Malone also stated that the buildings are a hazard to the public and pose safety concerns for his officers and are a distraction from their duties. In addition, according to the Herkimer County Health Assessment, the County's adolescents and adults lack access to acute, emergency and inpatient mental health services due to the closure of facilities. Also, the Community Health Assessment noted that food insecurity is high in Herkimer County with 1 in 5 children being food insecure and 84% being eligible for federal food nutrition programs.

ii. Cumulative Environmental Issues

The Herkimer County Health Rankings and Roadmaps Project both note that a high percentage of County residents do not have access to clean drinking water. The private well water supplies widely used throughout the County are substantially less regulated than municipal water sources and more subject to pollution.⁵ In fact, only 5% of the County's population has access to optimally fluoridated drinking water. In addition, historical disposal of industrial sludge, solvents and hazardous wastes from the brownfield properties at the local landfills have led to groundwater and soil contamination; these landfills are now considered brownfields themselves. Also, due to the presence of VOCs at many of these sites, it is expected that soil gas will be detected in several locations across the County that have the potential to adversely impact indoor air quality within structures including residences.

³Source: <http://www.uticaod.com/article/20141021/NEWS/141029945>

⁴ Source: <http://www.city-data.com/crime/crime-Herkimer-New-York.html>

⁵Source: County Health Rankings and Roadmaps, <http://www.Countyhealthrankings.org>

At least five (5) landfills, where the local industry's waste was historically disposed, have exhibited elevated levels of contaminations that have impacted the County's soil, groundwater and surface. Additionally, vacant and dilapidated buildings are a threat to residents due to asbestos, lead paint and other hazardous substances. Also a major cargo railroad (CSX Transportation) and interstate highway (I-90) bisect the County which serve as major transportation routes, therefore, there is a steady stream of traffic passing through the County. Both trains and diesel trucks can release significant sources of soot particles in the size ranges that are detrimental to health. In addition, flooding throughout the County typically occurs in the late winter and early spring months from ice blockages, spring rainfall, and snowmelt. According to the New York State Multi-hazard mitigation plan, the County experienced 85 flood events from 1960-2012 resulting in one fatality, injuries, and \$25 million in property damage which has the potential to migrate contaminants.

iii. Cumulative Public Health Impacts

The NYSDEC has identified sections of Herkimer, Ilion, Mohawk and Frankfort as potential Environmental Justice areas due to the high number of children and workers living in poverty and excessive former industrial activities noted these areas. In addition, the following cumulative public health issues were noted:

- Many former industrial sites are located in high poverty areas and are not secured, therefore residents, especially children and the working poor, are potentially directly exposed to lead paint, asbestos, VOCs and metals within buildings, soils, groundwater and surface water.
- Elevated lead blood levels in children (almost 3 times the U.S. average incident rate, 15.5 versus 6.1 for Herkimer and U.S., respectively) due to the County aging housing stock and elevated incidents of lung/bronchus, colorectal and breast cancer (up to 50% above expected incidents) within the communities of Ilion, Herkimer, Mohawk and Frankfort.⁶
- Potential exposure of children and working poor to mold within housing located in flood prone areas. Over 600 residences were flooded due to the flood of 2012.
- Potential contamination of the County's drinking water due to the density of former industrial sites.
- Due to the rural nature of the County, many residents utilize groundwater for drinking water. Several prior investigations have documented contamination of groundwater, however many industrial sites have not been investigated, and the residents do not routinely sample drinking water for industrial contaminants.

c. Financial Need

i. Economic Conditions

The decline in manufacturing in the region has resulted in a significant decline in population, manufacturing jobs for low-skill workers and personal income, which in turn have adversely impacted the County's ability to raise revenues. County sales tax receipts grew an average of 5.1% from 1990 to 2008, equal to the average sales tax growth across the state (excluding NYC); however from 2008 to 2009 the tax growth was reduced by 3.3%. The reduction in tax revenue, especially in light of increased social service needs, severely limits the County's ability to expend funds on non-social services such as identifying and assessing brownfield sites.⁷ With the lack of job growth, depressed home values (\$95,000 for Herkimer County versus \$283,700 for NYS), low personal incomes (\$35,400 Herkimer County versus \$58,687 for NY) and stagnant population growth, the County's ability to increase revenue is severely hampered. Due to the eroding tax base and presence of working poor, the County's 2013 expenditures of \$1,500 per capita was below the state average and has decreased 2%

⁶ Source: <http://www.health.ny.gov/statistics/cancer/registry/zipcode/>.

⁷ Source: <https://www.osc.state.ny.us/localgov/pubs/research/salestax2010.pdf>

since 2012 and 5% since 2008.⁸ With no growth, the County's only option is to continue to increase property taxes on an already overburdened population of elderly and working poor. Due to the continuing economic shortfalls in the past several years and the eroding tax base, without this grant the County does not possess the funding sources needed to address the environmental issues required to redevelop brownfield sites and revitalize their communities. In addition, police, fire and other service funding are consumed by addressing vandalism, fires and dilapidated building issues. Also, as noted within the Herkimer County NY Rising Resiliency Plan, areas along the Mohawk River and its feeder streams are prone to flooding. Most recently the area has been adversely affected by: Hurricane Irene (August 2011), Tropical Storm Lee (September 2011), Winter Storm Nemo (February 2013), and continuous rain throughout the month of June 2013. The impact of the summer 2013 storms was significant across the entire region, with severe water damage to, or complete destruction of, electric substations, water systems, wastewater treatment plants, roads, bridges, homes, senior living facilities, schools, and municipal buildings. There was at least \$12 million in damage to infrastructure including sewage and water treatment plant damage in all the impacted Counties.

ii. Economic Effects of Brownfields

Like many Upstate New York Counties founded on a manufacturing economy, globalization has led to the failure and closure of numerous industrial facilities, particularly in the 1990s as noted in Section 1. Due to the loss and threatened loss of manufacturing jobs over the past few decades, Herkimer County's demographics have shifted toward lower incomes, resulting in depressed communities. A review of census data indicates that lower income and elevated poverty and child poverty rates are concentrated in the urban centers, where the majority of brownfields are located. The following are some of the economic effects that could be attributed to brownfields in Herkimer County:

- Job Losses- From 2000 to 2013 the County lost 6% of its jobs, compared with an increase of 6% in the state and 10% in the nation.⁹
- Decreasing Income - Herkimer County's median income is \$34,200 compared to \$48,300 for the state and \$49,800 for the nation.¹⁰
- Lacking Business Growth - The number of business establishments in the County have only risen 2% [Professional and Business Services and Construction rose (both 21%), while Information (-30%), Trade, Transportation and Utilities (-17%), Financial Activities (-15%), and Manufacturing (-15%) declined] from 2000 to 2013, compared to state growth of 10% and national growth of 17%.¹¹
- Lagging Median Home Values - Median home values in Herkimer County (\$92,500) are well below the state (excluding NYC) median of \$214,600 and the national median of \$176,700. In addition, home values have increased 5% in Herkimer County since 2000, which is less than the 21% increase for the state (excluding NYC) and 17% increase nationally.¹²
- Fiscal Stress on School Districts - Several communities are under financial stress according to the NYS Comptroller, including the Herkimer Central School District and German Flats.¹³

The presence of brownfields has discouraged developers from investing in the County's urban centers and along the waterways where the necessary infrastructure for development is in place. Rather, development

⁸ Sources: <https://www.osc.state.ny.us/localgov/pubs/research/salestax2010.pdf>;

And <http://herkimerCounty.org/content/Generic/View/40:field=documents;/content/Documents/File/1607.pdf>;

⁹Source: <http://hoc.communityprofiles.org/sites/default/files/page-downloads/Regional-Overview-2015.pdf>

¹⁰Source: <http://hoc.communityprofiles.org/sites/default/files/page-downloads/Regional-Overview-2015.pdf>

¹¹Source: <http://hoc.communityprofiles.org/sites/default/files/page-downloads/Regional-Overview-2015.pdf>

¹²Source <http://hoc.communityprofiles.org/sites/default/files/page-downloads/Regional-Overview-2015.pdf>

¹³Source: <http://hoc.communityprofiles.org/sites/default/files/page-downloads/Regional-Overview-2015.pdf>

(limited as it is) is occurring in Greenfields causing the continued decay and adverse impacts to residents and environment.

2. PROJECT DESCRIPTION & FEASIBILITY OF SUCCESS

a. Project Description, Project Timing and Site Selection

i. Project Description and Alignment with Revitalization Plans

Herkimer County will use these funds to identify and assess brownfield sites located in the County's decaying urban centers and along the County's waterways in communities such as Ilion, Dolgeville, Frankfort, Herkimer Village and Town of Herkimer, and Little Falls. The site selection and redevelopment planning will be guided by the County's Comprehensive Land Use and Economic Development Plans and Mohawk Valley Regional Sustainability Plan. It is important to note that due to the lack of financial resources within the communities, local comprehensive land use planning is limited. With this in mind; the project will have the following major goals:

- Identify brownfields using government/private databases and community stakeholder input. Efforts will be made to seek input from communities including the working poor.
- Identify sites that have the potential to: reduce adverse environmental impacts on sensitive populations, blight (e.g. dilapidated buildings) and be redeveloped as affordable housing located in areas of existing infrastructure and have the potential to leverage federal investment and be redeveloped as manufacturers for packaging and distribution of food and beverage products.
- Conduct environmental assessments and investigations on selected sites.
- Communicate findings to the community and engage in cleanup planning.
- Incorporate sustainable development principles including affordable housing, trails and open space.

As noted within the Mohawk Valley Regional Sustainability Plan (which includes Herkimer County) and NY Rising (provides state funding to rebuild communities and infrastructure), Herkimer County project redevelopment projects will include:

- Investigation and remediation planning of brownfields along proposed bike trails that will connect several communities including Ilion to Mohawk, Lock 18 to Route 167, and Ft. Herkimer Church to Ilion to encourage alternative transportation.
- Redevelopment of brownfields in urban centers as affordable housing for the working poor and families relocated from flood prone areas. These actions will also assist in stabilizing real estate values and locating sensitive population near needed social services.
- Redevelop brownfields with existing infrastructure for expanding local business, to encourage new business, and promote job growth for the County's underemployed.

ii. Redevelopment Strategy

The Mohawk Valley Regional Economic Development Council, which includes Herkimer County, has implemented a plan to attract food manufacturing to Herkimer County's affordable land, existing infrastructure, proximity to markets and outstanding workforce. As part of the effort, Herkimer County Industrial Development Agency is actively courting manufacturers, packagers, and distributors of food and beverage products and highlighting available sites that have existing infrastructure (available water and sewage and truck access). One barrier is that typically the best sites are occupied Brownfields, therefore the funding will be used to assist in identifying environmental issues and developing remediation plans so that potential developers will understand the environmental liability. If necessary, additional funding from local, state and federal sources will be leveraged to assist in site remediation and redevelopment to attract food manufacturers.

iii. Timing and Implementation

Mr. Stephen Smith, Executive Director HCIDA, is fully prepared to manage a successful brownfields program and ensure it is completed within three (3) years. HCIDA has the internal capacity to manage the program along with the expertise of a qualified and experienced consultant that has already successfully helped manage EPA Brownfields Grants for other applicants. HCIDA plans to attend the USEPA Brownfields Conference to learn even more about how to develop a successful EPA Brownfields Program. Upon receipt of the brownfield grant, HCIDA will establish a Task Force and advertise for a Qualified Environmental Professional (QEP) to assist with technical aspects of the project. Once the QEP is selected, the identification and evaluation of potential brownfield sites will be initiated. If private sites are selected for review, the access agreement process will be initiated as soon as possible to gauge the private parties' interests. Based on the Phase I Environmental Site Assessments (ESAs), sites for additional investigation will be identified; investigation work plans will be negotiated with NYSDEC; and a Site Specific Quality Assurance Project Plan (QAPP) will be developed. Once the site investigations are completed, remediation and reuse plans will be developed in light of the community's goals. Throughout the process, and at the conclusion of the program, public outreach will be completed to inform and obtain public input. Project timing is outlined below:

Task	Months from Contract Execution											
	3	6	9	12	15	18	21	24	27	30	33	36
1. Project Management	X	X	X	X	X	X	X	X	X	X	X	
2. Community Outreach		X			X		X		X	X		
3. Site Inventory		X	X	X								
4. Site Selection		X	X	X	X							
5. Phase I Activities			X	X	X	X	X					
6. Phase II Activities					X	X	X	X	X			
7. Reuse & Remediation Planning								X	X			

(a) Contractor Procurement

Within four (4) weeks of signing the grant contract, the HCIDA will prepare a Request for Proposal from Qualified Environmental Professionals to assist with the site inventory and community outreach, complete Phase I and II ESAs, and conduct remedial option evaluation and design. The RFP process will follow County procedures and Federal procurement guidelines in 40 CFR 31.36 to procure those services. It is expected the process will include a submission of qualifications and costs. Based on a review of the submitted packages, at least three (3) QEPs will be selected for interviews. Based on the RFP submission and interview a QEP will be selected.

(b) Inventory and Site Selection

The determination of sites will be done through an initial specific site selection criteria including research on prospective sites through consultation with governmental database and records, and public input with community stakeholders through a series of public participation meetings and site tours. These activities will be coordinated by the selected QEP, working with staff. It is estimated that 40 sites will be initially reviewed to determine if they are eligible. Site selection criteria will also include factors such as:

- Potential threats to human health and the environment
- Proximity to the public including sensitive population and areas prone to flooding and environmental justice issues
- Structures in danger of imminent collapse and/or release of contaminants
- Potential for redevelopment as affordable housing, to ensure children have safe housing

- Potential for redevelopment as manufacturer, packager and distributor of food and beverage products to create or retain jobs as noted in the community and region vision

(c) Obtaining and Securing Site Access

- County/municipal owned sites – The HCIDA will work with relevant County and municipal officials to assess selected sites for reviews. Since the sites are county/government owned, site access will be approved by the appropriate board(s).
- Private sites – Initially HCIDA officials will work with private owners to gain access by educating the private site owners about available NYS Brownfield Site Remediation and Remedial Tax Credits and Voluntary Clean-up Programs. If the owners agree to allow access then the County Attorney will obtain the required Site Access Agreements. If the owner does not allow access and the site is in tax arrears, the County Attorney will petition the court to obtain temporary environmental easements, which would allow the County (taxing authority) to complete investigation to determine if they wish to foreclose on the site.

b. Task Description and Budget Table

Task 1: Project Management – This task will include:

- Formation of a Brownfield Task Force – The following entities will be invited to join: Herkimer County Assessor, Division of Buildings, Attorney and Herkimer County Chamber of Commerce; Greater Mohawk Valley Landbank (GMVL); Herkimer County Community College; Herkimer County Board of Cooperative Education Services Adult and Community Education (BOCES); community-based organizations; NYSDEC, EPA Region 2, and HQ Brownfield officials. Once assembled, the Task Force will meet initially to formalize plans and the decision-making process, and then at milestones (at completion of tasks 3,4,5,6 and 7) to disseminate information to make informed decisions.
- Project Reporting and Coordination – Includes preparation of required reports, ACRES database input, consultant oversight, project coordination, coordination with EPA and NYSDEC, development of access agreements, attending roundtables and the National Brownfield Conference.
- Selection of Qualified Environmental Professional (QEP) and Community Outreach Firm – Through the RFP process the Task Force will select firms to assist with Phase I and II ESAs, remedial design and Community Participation portions of the project.

Costs:

- In-Kind Leveraging – Task Force Creation and QEP Consultant selection – 30 hrs. x \$30/hr. = \$900
- In-Kind Leveraging Access Agreements – \$2,000 lump sum for attorney fees (detail in leveraging section)
- Roundtable/National Brownfield Conference – \$2,500 in travel costs
- Reports/Database Maintenance/Consultant Oversight/Project Coordination – \$3,440 (\$2,408 Personnel; plus \$1,032 Fringe Benefits)

Outputs: Brownfield Task Force Formation, Project Reporting/Coordination and Qualified Environmental Consultant Collection

Task 2: Community Outreach – A concerted community involvement campaign to raise public awareness, and involve the community in the decision-making process and to identify sites and potential reuse options will be conducted. Planned outreach includes providing up-to-date project information on the County's website, creating/disseminating information via flyers distributed at community meetings, bulletin boards, releasing articles through the local newspapers (Country Editor, Observer Dispatch and Times Telegram), local radio stations and conducting outreach meeting with Community organizations (Community based

organizations including food banks and social service agencies) and conducting outreach meeting with Community organizations. If necessary, handicap and hearing impediments will be addressed and translation services will be provided.

Costs:

- In Kind Leveraging – Meeting attendance 2 people - 6 meetings x 3hrs/meeting x \$30/hr. = \$1,080
- In-Kind Supplies Leveraging: For Outreach (poster displays, brochures, other educational materials) – \$750
- Community Outreach firm to:
 - ✓ Create outreach materials, organize/facilitate public outreach and training sessions (6 sessions at \$800 per session) – \$4,800
 - ✓ Prepare/disseminate materials – \$500
 - ✓ Interpreters/hearing impaired service 6 meetings 2 hr./meeting – \$1,000

Outputs: Outreach Material, Effective Communication

Task 3: Site Data Collection – The QEP will conduct a windshield survey of the identified sites and review file information (Building Department, Assessor, etc.) provided by Herkimer. The potential environmental issues and economic potential will be conducted to rank the sites.

Costs:

- In-Kind Leveraging – File Review 30 hrs. x \$30/hr. = \$900
- Site Inventory data collection, review and presentation – \$5,000

Outputs: Brownfield Site Inventory

Task 4: Site Selection – The Task Force will review the inventory and work through the community participation process to identify potential public and private sites for assessment and investigation.

Costs:

- In-Kind Leveraging Selected Sites – 40 hr. x \$30/hr. = \$1,200

Outputs: Selected Sites for Investigation

Task 5: Phase I ESAs – QEP will perform 10 Phase I ESAs in accordance with ASTM 1527-13 and the EPA's All Appropriate Inquiry Rule to evaluate the potential for on-site contamination and hazardous building materials. If the site is privately owned, the QEP will work with the city attorney and site owner to obtain an Access Agreement prior to initiating the work.

Costs:

- 10 x \$3,000 average per Phase I = \$30,000

Outputs: 10 Phase I ESAs

Task 6: Phase II ESAs – QEP will complete Phase II ESAs for up to four (4) petroleum sites. Initially, the QEP will provide EPA-compliant, site-specific QAPPs, sampling and analysis plans, and site-specific health and safety plans (HASPs) for each site. All documents will be submitted for EPA review and approval prior to implementation.

Costs:

- Four (4) Phase II sites x \$30,000 average per site = \$120,000

Outputs: 4 Phase II ESAs

Task 7: Reuse and Remediation Planning – The QEP will complete remedial action plans and reuse plans and appropriate Clean-up Alternatives for three sites including sustainable design and real estate market analysis. These plans can be used as leverage for other grant funds or future EPA Brownfield Clean-Up grants.

Costs:

- Three (3) sites x \$10,920 average per plan = \$32,760

Outputs: 3 Reuse Plans

i. **Budget Table**

Our proposed EPA Brownfield Assessment (petroleum) grant budget is:

Budget Categories	Project Tasks							
	1	2	3	4	5	6	7	TOTAL
Personnel	\$2,408							\$2, 408
Fringe Benefits	\$1,032							\$1,032
Travel	\$2,500							\$2,500
Supplies								
Contractual		\$6,300	\$5,000		\$30,000	\$120,000	\$32,760	\$194,060
TOTAL	\$5,940	\$6,300	\$5,000		\$30,000	\$120,000	\$32,760	\$200,000

c. **Ability to Leverage**

The table below quantifies the in-kind staff time that HCIDA will commit to this project to ensure the success of the grant, and the additional resources leveraged for cleanup and redevelopment activities.

Source	Purpose	Amount	Status
Herkimer County Staff (In-kind Leveraging)	Project Management, QEP & Community Participation firm selection, access agreements, conduct Community Outreach meetings	\$6,830	Secured
HCIDA	Assist with Quackenbush building site assessment (located in Village of Herkimer)	\$75,000	Secured
Greater Mohawk Valley Landbank	Acquire properties and funding to demolish, renovate or stabilize properties	\$1.3 million	Secured
EPA Brownfields	Additional site assessment and cleanup for eligible sites	TBD	Potential
NY Rising Community Reconstruction Program (provides rebuilding assistance to communities)	Assist with redevelopment of sites, provide funds to redevelop sites	\$3 million	Secured
NYS Office of Community Renewal Main Street Grant (provides financial and technical assistance to communities to strengthen economic vitality)	For businesses to acquire, remediate, expand and/or renovate sites	Up to \$50,000/bldg.	Potential
National Grid Brownfield Grants	Provides grants to fund utility-related infrastructure improvements, demolition, and costs necessary for the redevelopment of a Brownfield site or abandoned building	Up to \$300,000 per project	Potential

3. COMMUNITY ENGAGEMENT AND PARTNERSHIPS

a. **Engaging the Community**

i. **Community Involvement Plan**

The community has been involved in the formulation on various plans (County's Comprehensive Land Use and Economic Development Plans, etc.) which serve as the basis for the brownfields assessments. During the development of these plans the city obtained extensive community input, as such, the Community Involvement Plan will include:

- **Brownfield Task Force:** Will guide the project; outreach to civic leaders, business representatives, and neighborhood representatives for inclusion on the Task Force. Members will attend meetings (quarterly) to prioritize sites, discuss properties of concern, receive project updates, review redevelopment options, and serve as the information conduit between the city, citizens and the project.
- **Public Participation:** The Task Force will build upon successful public meeting processes used during the Comprehensive and Downtown Development Plans. In addition, press releases to inform the public on key project findings will be issued to local newspapers, fact sheets distributed to community groups, senior centers, local businesses (e.g. grocery stores), and government offices, updates will be posted on the city's website, and an information repository created to share project documents with the community.
- **Concerted effort to work with site owners** once a site is identified as a priority. Task Force members will be instrumental in facilitating this by setting up meetings to inform interested private owners of the opportunities of the brownfield program.

- Most importantly, the Task Force will work with local groups such as Herkimer Community Action Agency, Inc., which offers numerous programs to low income families in the area, to share information and gather ideas/concerns from sensitive groups and the city's small neighborhoods. In particular, Task Force members will be instrumental in facilitating this by setting up meeting dates, locations, and times that best serve their community. Once this has been established, initially we will present basic "Brownfield 101" training (i.e. what is a Brownfield, what can the grant do, why would I want to participate) to help educate the community and solicit participation. As the project moves toward the redevelopment planning stages of specific properties, the Task Force will conduct workshops and/or visioning sessions to fully engage the community in the cleanup and redevelopment planning process and ensure the sustainable redevelopment of our brownfield sites.
- Given the demographics of Herkimer County (less than 4% minority and 20% elderly as of the 2013 American Community Survey 5-year Estimates), most project communications will be in English. However, prior to conducting meetings in communities, the Task Force will make inquiries in regard to special needs (elderly handicap access, deaf translator, etc.).

ii. Communicating Progress

Communication will consist of the following to update the community on brownfield activities and provide opportunities for input and collaboration:

- Sending information via email to residents already within the County database, plus addresses collected during meetings
- Posting information at senior centers, places of worship, grocery stores, libraries, community service centers (food banks, social service agencies), etc.
- Submitting articles to the local newspapers (Country Editor, Observer Dispatch and Times Telegram) and local radio station to notify the public of upcoming meetings and the taskforce's progress
- Task Force community members will convey progress reports to local groups, neighborhood/church groups, municipal officials, etc.

b. Partnerships with Government Agencies

i. Local/State/Tribal Environmental Authority

- The NYSDEC will review technical documents, oversee assessments and remedial action plans, and facilitate Brownfield Agreements. The Brownfield Agreements will provide non-responsible parties with liability protection and provide an avenue for the NYSDEC staff to stay involved and provide oversight of project activities.
- The New York State Department of Health (NYSDOH) will support site investigation and remediation planning; ensure public health issues are addressed during assessment and remedial planning; provide information to the public on the health risks of contaminants; and answer the public's health-related questions.

ii. Other Government Partnerships

- Herkimer County municipalities will identify potential brownfield sites and provide feedback.
- The EPA Region 2 Brownfields Coordinator will provide advice and their review of all assessments and cleanup planning activities.
- Herkimer County Department of Social Services will provide socio-economic information during the review of sites. Herkimer County Legislature will work closely with the Task Force and provide assistance as needed.
- Herkimer County Industrial Development Agency (HCIDA) will assist with the evaluation of property use and attracting developers, including affordable housing entities, to the sites.
- Herkimer County Planning completes community development projects across the County.

- Mohawk Valley Regional Economic Development Council is a public-private partnership of local experts and stakeholders from business, academia and local government, and organizations, which provides funding and assistance to the Counties' businesses.
- Greater Mohawk Valley Landbank (GMVL) acquires properties and has funding to demolish, renovate or stabilize properties.

c. Partnerships with Community Organizations

- i. Community Organization Description & Role** -The following community-based organizations have committed to assist:

Agency	Brief Description	Project Roles & Commitments
Mohawk Community Club	Service organization dedicated to serving the communities of Mohawk and Ilion.	Act as sponsor in providing meeting space and willing to reach out to public in any capacity required.
Town of Herkimer	Local government, where citizens contribute their talents, skills and ideas to preserve the quality of life and to deliver important programs and services.	Provide meeting space, email blasts and materials to assist in promoting the area
Herkimer County Chamber of Commerce	Private sector collaborator in Herkimer County revitalization	Provide marketing, manpower, meeting space and advertising via email blasts.
Village of Herkimer	The Village mission is to increase local economic prosperity and help to improve the quality of life for its citizens.	Assist in identifying and prioritizing the brownfield sites. Will invite the Village representatives to Board/Committee meetings to raise awareness about this project.

ii. Letters of Commitment

Letters of Commitment from Community Organizations are included at the end of this application.

- d. Partnerships with Workforce Development Programs** - The County does not have a job training grant; however, it will utilize local unions and Herkimer County's Board of Cooperative Education Services Adult and Community Education Department to develop union apprenticeships and provide skilled workers for asbestos and lead paint sampling. In addition, the HCIDA will work with Herkimer County Community College's Computer Science program to develop a GIS mapping internship and Business Administration program to develop a project management internship.

4. PROJECT BENEFITS

- a. Welfare, Environmental, and Public Health Benefits** -The environmental benefits of this project will be the elimination or mitigation of public health hazards and increased community awareness about the presence of environmental contaminants. Phase I and II Environmental Site Assessments will enable the County to accurately identify environmental hazards and will lead to the remediation of dangerous contaminants and/or greater security that limits public access to sites with the greatest potential for negative impacts. In addition, through the outreach process, residents will be educated about the potential health hazards for children playing on and around brownfield sites. Also:

- Run-off from brownfields will be eliminated, which will improve surface water quality.
- Groundwater contamination will be reduced, protecting drinking water supplies.
- Hazardous building materials will be removed, reducing potential exposure to lead paint.
- Gas, groundwater and soil contamination will eliminate potential sources contributing to the County's elevated incidents of lung/bronchus, colorectal and breast cancer.

b. Economic and Community Benefits

The redevelopment of brownfields for business and affordable housing will encourage existing businesses to expand and new businesses to locate to the area. The businesses will provide jobs

for the working poor local population thereby increasing income and home values and encourage the redevelopment of abandoned buildings. According to a Northeast Midwest Institute study, home values will increase by 15%. The affordable housing will provide homes for the sensitive population living in poverty, individuals relocated from flood prone areas, and new workers moving to the area. The construction of affordable housing will allow residents living in poverty to have improved living conditions that eliminate the potential for children's' exposure to lead and the removal of residents from flood prone areas of the County. In addition, the elimination of vacant buildings will reduce the transient population, drug use and crime as well as the sensitive population potential exposure to hazardous building materials.

5. PROGRAMMATIC CAPABILITY AND PAST EXPERIENCE

a. Audit Findings - Herkimer County has not received adverse audit findings.

b. Programmatic Capability

The HCIDA is fully prepared to effectively manage these grant funds. Mr. Stephen Smith, Executive Director HCIDA, will lead this project. The HCIDA is Herkimer County's lead agency for economic development services. In addition to industrial marketing, the HCIDA acts as a coordinating agency for a variety of corporate financing and incentive programs offered by local, regional, state and federal agencies. The HCIDA keeps abreast of the available programs and provides technical assistance to businesses, should they choose to apply for such financing. In some instances, the HCIDA also acts as the official conduit for the funds. Mr. Smith reports to the Herkimer County IDA Board, which was established by the County legislature consisting of 17 members from throughout the County. Mr. Smith has extensive experience developing budgets, performing accounting functions, submitting planning grants to the Economic Development Administration, and managing all aspects of planning grants. In addition, due to his experience as Executive Director of the Mohawk Valley Economic Development District, Inc., he is adept at working with federal, state and local government officials within the Mohawk Valley Region on capital improvement, infrastructure and public works projects. He has worked with industrial and commercial businesses, credit analysis and finance, real estate financing, rural development, industrial parks and strategic planning. Mr. Smith will be assisted by Stacey Holleran, HCIDA Financial Manager, who is responsible for administering the PILOT program; providing various reports including monthly financials, pension, Authorities Budget Office, Small Cities Performance Assessment, and IRP; and monitoring and updating policies. Mr. Smith's efforts will be supported by the Task Force Committee, which will consist of town, Village and County members. In addition, as previously stated, due to the technical nature of the project, the County intends to hire an experienced and qualified subcontractor to assist with the implementation of the project and will follow Federal procurement guidelines in 40 CFR 31.36 to procure those services. The County will begin the procurement process within the next six months to insure the project team is in place and ready to begin project activities immediately upon the grant award. In the unlikely event of Mr. Smith's inability to administer the program, the board would conduct a county-wide search to identify, interview and select the best candidate based upon qualifications. HCIDA's staff does not have the ability to perform environmental assessments on sites identified by the community task force. Therefore, HCIDA intends to retain the services of a QEP with experience in New York conducting brownfield inventories, performing Phase I and Phase II Environmental Site Assessments and remedial planning, as well as other duties required for successful completion of this grant. Mr. Smith will work with the selected consultant on an on-going basis, approve requests for payments, and oversee the overall direction of the grant. To reduce the administrative and contractor oversight costs, HCIDA will hire a single, qualified company, as a prime contractor that

may hire applicable subcontractors as needed to meet the project's needs. HCIDA will routinely meet with the selected contractor to discuss the project's progress toward milestones and goals outlined in the initial Task Force meeting. If sufficient progress is not being made, HCIDA will request the contractor establish an agreed-upon plan to address any funding, project timeline or technical deficiencies. In addition to HCIDA will utilize the services of the Herkimer County Attorney's office to assist with:

- Negotiating/obtaining site access agreement for private sites
- Obtaining temporary site environmental easements under NY law for brownfield sites owned by recalcitrant owners that are delinquent on tax payments

c. Measuring Environmental Results: Anticipated Outputs/Outcomes

As part of the project, Herkimer will utilize accounting software to manage the entire cooperative agreement process from acceptance to closeout and finally audit track. The spreadsheet will track tasks, milestones by person responsible and completion dates; budget by task and amount expended and remaining; as well as activities associated with tasks including action (e.g. outreach meeting, PI, etc.) date of action, costs and outcomes. The actions will be maintained by Mr. Smith, updated at least monthly and reviewed at each Task Force meeting to ensure the agreement objectives are on track based on budget, goals and timeline.

d. Past Performances and Accomplishments

ii. Has Not Received an EPA Brownfields Grant but has Received Other Federal or Non-Federal Assistance Agreements

1. Purpose and Accomplishments: Herkimer County has never received an EPA Brownfields Grant or any federal grants recently; however they have an extensive history of managing state funds. The following are examples of previous agreements:

Granting Agency	Description & Amount	Purpose & Results	Specific Outcome
2006-2007 State Budget - Aide to Localities	Seward Grant: \$200,000	Economic development projects: awarded to five local companies for the purchase of production materials, equipment, building materials, and certifications	Allowed small business to purchase equipment to meet state/industry requirements and update technology to ensure profitability and employment including: new water well to serve the Frankfort Business Park and necessary infrastructure development; Genesis Disposables, purchased equipment.
2010 NYS Housing Trust Fund	Office of Community CDBG Grant: \$200,000	Microenterprise businesses: to create new jobs, stabilization of existing jobs and infusion of additional company equity into local economy	Provided financial assistance to 11 small existing or startup businesses providing new job opportunities. This project helped retain 19 jobs and created 32 more, ultimately broadening the County tax base.
2015 NYS Dormitory Authority	Economic Development Assistance Program (EDAP): \$100,000	Turbo Machined Products facility expansion & equipment purchase	Provided \$100,000 grant to assist with expansion project for Turbo Machined Products located in the Frankfort Industrial Park.

2. Compliance with Grant Requirements

COMPLIANCE CRITERIA	GRANTS		
	Seward Grant	CDBG Grant	EDAP
Did you comply with work plan, schedule and terms and conditions?	Yes	Yes	Yes
Are you making progress toward achieving the expected results in a timely manner?	Yes	Yes	Yes
Are any corrective measures required?	No	No	No
Was reporting completed on a timely basis as required by the awarding agency?	Yes	Yes	Yes



November 1, 2017

STAFF

STEPHEN R. SMITH
Executive Director

STACEY J. HOLLERAN
Financial Manager

Ms. Lya Theodoratos, Regional Brownfields Coordinator
Environmental Protection Agency Region 2
290 Broadway, 18th Floor
New York, New York 10007-1866

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Director

DANIEL B. REARDON
Director

CATHERINE RICCI
Director

RE: Herkimer County, New York
Assessment Grant Proposal
Fiscal Year 15 EPA Brownfields Program
Community-Wide Petroleum Proposal

Dear Ms. Theodoratos,

I am writing you to let you know that the Herkimer County Industrial Development Agency will have secured the funding for the in-kind services for the Community-Wide Petroleum Proposal.

These in-kind services include the Qualified Environmental Professional (QEP), the File review, meetings and supplies totaling \$6,830.00.

If you have any questions or concerns, please do not hesitate to contact my office.

Sincerely,

Stephen R. Smith
Executive Director



www.herkimercountychamber.com

402 E. German St.
Herkimer, NY 13350

Telephone: (315) 866-7820
Fax: (315) 866-7833

JOHN J. SCARANO
Executive Director

Michele Hummel
Office Manager

11/13/2017

Mr. Stephen R. Smith, Executive Director
Herkimer County Industrial Development Agency
420 E. German St., Suite 101 A
Herkimer, NY 13350

RE: Herkimer County Chamber of Commerce support for the Community Wide Assessment Grant

Dear Stephen,

The Herkimer County Chamber of Commerce is a membership based organization that is pleased to be a community partner with the Herkimer County Industrial Development Agency in its application for a Community Wide Assessment Grant to assess, Brownfield sites.

The Chamber of Commerce is willing to provide grassroots support by donating our conference room for meetings, provide marketing and advertising via our newsletter and E-blast that we send out, and provide any manpower that our members can offer.

The Chamber fully supports the Community Wide Assessment Grant and looks forward to assisting with the revitalizing of Herkimer County; it's a key step in overcoming the current economic hardships faced by this community.

Sincerely,

A handwritten signature in dark ink, consisting of a stylized 'J' followed by a long, sweeping horizontal line.

John J. Scarano

M C C
Mohawk Community Club
Serving Our Community

David Buckley - President
101 Cemetery St.
Frankfort, New York

11/10/17

To Whom It May Concern:

On behalf of the Mohawk Community Club, I am writing in support of the Herkimer County Industrial Development Agency's application to the Environmental Protection Agency for a Community Wide Assessment Grant. There are numerous Brownfield sites in Herkimer County including locations within the villages of Ilion, Herkimer, and Newport, the Town of Frankfort and the city of Little Falls. It is extremely important to these communities for reasons of public health and economic development that they be evaluated and, if necessary, remediated.

Once remediated these sites would be able to be purchased or rented. Businesses could be built up and people employed. These sites could then be added to the tax rolls of the various municipalities. It doesn't take a degree in health or in economics to realize the potential benefits to Herkimer County, a county that is in desperate need of an economic turnaround.

While the Mohawk Community Club is a service organization dedicated to serving the communities of Mohawk and Ilion, all the communities of the county would benefit from this grant. The Club stands ready to act as sponsor in providing a place for meetings. The members are also ready to help reach out to the public in whatever capacity is required of us.

Thank you,



David Buckley
315-894-3494

DOMINIC FRANK
SUPERVISOR
315-866-8104

COUNCIL MEMBERS
315-866-8104
RANDY KAST
VITO CARBONE
DANIEL STALTERI
KATHY PENREE

Town of Herkimer

Formed on March 7, 1788

114 N. PROSPECT STREET
HERKIMER, NEW YORK 13350
FAX: 866-8105
www.townofherkimer.org
TDD 711

JENNIFER DEMETRO
TOWN CLERK
315-866-2690

SUPT. OF HIGHWAYS
315-866-1803
DAVID MCMANUS
RECEIVER OF TAXES
315-866-8101
JODI RIVERS

November 7, 2017

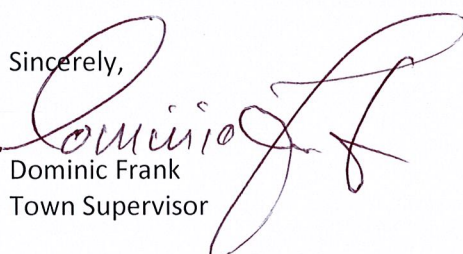
Mr. Stephen R. Smith
Executive Director
Herkimer County Industrial Development Agency
420 E. German Street, Suite 101A
Herkimer, New York 13350

Dear Mr. Smith:

At the November 6, 2017 Town Board Meeting of the Town of Herkimer, the Town Board of the Town of Herkimer voted unanimously to support the Herkimer County Industrial Development Agency in its effort to secure an EPA Brownfields Assessment Grant. We believe that the cleanup of the properties will only lead to the enhancement of the area and make it a viable part of the community thereby assisting in the growth of jobs and economic development in the area.

The Town of Herkimer will help support the IDA by providing meeting space, email blasts and provide materials that will best assist the IDA in promoting this area in this way.

Sincerely,



Dominic Frank
Town Supervisor

Cc: Town Board

Village of Herkimer

Municipal Hall

120 Green Street

Herkimer, N.Y. 13350

(315) 866-3303 • Fax (315) 717-0415

Site of Historic Fort Dayton
Settled 1725

November 8, 2017

Mr. Stephen R. Smith, Executive Director
Herkimer Co. IDA
420 E. German St. Suite 101A
Herkimer, NY 13350

Dear Mr. Smith,

The Village of Herkimer is pleased to endorse the Herkimer County IDA US Environmental Protection Agency Brownfield Assessment Grant application.

As the nonprofit economic development organization serving all of Herkimer County, the Village of Herkimer has the primary mission of increasing local economic prosperity and helping to improve the quality of life for our citizens. We recognize that the presence of vacant and deteriorating properties greatly hinders any village's capacity to recruit new businesses and industries, create new jobs, and generate new capital investment, which all has a direct negative impact on maintaining or improving the local quality of life.

Herkimer Co. IDA's community-wide assessment to identify and then remediate these properties for future productive uses will not only improve the physical appearance of that part of the community, but will also enhance the Village's efforts to generate new economic opportunities for its citizens.

The economic and community benefits to be gained from this project are readily apparent. The Village of Herkimer will assist Herkimer County IDA in its efforts in whatever capacity we can, including helping to identify and prioritize the Brownfield sites, and inviting Village representatives to a future Board meeting and/or other committee meetings to raise awareness about this project. Thank you for including the Village of Herkimer in this constructive endeavor.

Sincerely,



Anthony B. Brindisi
Mayor

ABB:jj



THRESHOLD CRITERIA

1. Applicant Eligibility

The grant applicant is Herkimer County Industrial Development Agency (HCIDA), a public benefit corporation created by the Herkimer County Legislature under the New York State Industrial Development Agency Act.

2. Community Involvement

HCIDA confirms its commitment to include the public as a true partner throughout implementation of the brownfield project, and beyond. With the update of our land use plan and the re-launching of the "Main Street" program, we have been actively working with our residents and businesses to ensure all needs and concerns are addressed. We will leverage the success of this program by employing some of the same methodology (e.g. sending printed updates on project progress via our bi-monthly newsletter, surveying the public for redevelopment ideas and site inventory/prioritization, and updates to county and municipalities). Additionally, we will form a Brownfields Task Force (comprised of a cross-section of our community) to help guide the project.

Herkimer County, NY- Petroleum Grant Brownfield Application
EPA Assessment Grant

Attachments Uploaded

- ✓ Form 424 submitted online
- ✓ Cover Letter
- ✓ Cover Letter Attachments
 - a) Regional Priorities Form (Appendix 3)
 - b) Other Factors Checklist
 - c) Letter from NYS Dept. of Environmental Conservation
 - d) Threshold Criteria
- ✓ Narrative Proposal
- ✓ Narrative Proposal Attachments
 - a) Documentation indicating committed leveraged resources
 - b) Letters of Commitment from all Community Organizations

Application for Federal Assistance SF-424

* 1. Type of Submission:

- ☐ Preapplication
☒ Application
☐ Changed/Corrected Application

* 2. Type of Application:

- ☒ New
☐ Continuation
☐ Revision

* If Revision, select appropriate letter(s):

* Other (Specify):

* 3. Date Received:

11/15/2017

4. Applicant Identifier:

5a. Federal Entity Identifier:

5b. Federal Award Identifier:

State Use Only:

6. Date Received by State:

7. State Application Identifier:

8. APPLICANT INFORMATION:

* a. Legal Name: Herkimer County Industrial Development Agency

* b. Employer/Taxpayer Identification Number (EIN/TIN):

16-1239356

* c. Organizational DUNS:

0099216230000

d. Address:

* Street1:

Suite 101A

Street2:

420 E. German Street

* City:

Herkimer

County/Parish:

Herkimer

* State:

NY: New York

Province:

* Country:

USA: UNITED STATES

* Zip / Postal Code:

13350-1911

e. Organizational Unit:

Department Name:

Division Name:

f. Name and contact information of person to be contacted on matters involving this application:

Prefix:

* First Name:

Stephen

Middle Name:

R.

* Last Name:

Smith

Suffix:

Title:

Organizational Affiliation:

* Telephone Number:

315-866-3000

Fax Number:

* Email:

ssmith@herkimercountyida.org

Application for Federal Assistance SF-424

* 9. Type of Applicant 1: Select Applicant Type:

X: Other (specify)

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

Public Benefit Corporation

* 10. Name of Federal Agency:

Environmental Protection Agency

11. Catalog of Federal Domestic Assistance Number:

66.818

CFDA Title:

Brownfields Assessment and Cleanup Cooperative Agreements

* 12. Funding Opportunity Number:

EPA-OLEM-OBLR-17-07

* Title:

FY18 GUIDELINES FOR BROWNFIELDS ASSESSMENT GRANTS

13. Competition Identification Number:

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

Add Attachment

Delete Attachment

View Attachment

* 15. Descriptive Title of Applicant's Project:

Herkimer County, NY EPA Petroleum Assessment Grant Proposal

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments

Application for Federal Assistance SF-424**16. Congressional Districts Of:**

* a. Applicant

21

* b. Program/Project

NY-021

Attach an additional list of Program/Project Congressional Districts if needed.

Add Attachment

Delete Attachment

View Attachment

17. Proposed Project:

* a. Start Date:

08/01/2018

* b. End Date:

08/01/2021

18. Estimated Funding (\$):

* a. Federal

200,000.00

* b. Applicant

0.00

* c. State

0.00

* d. Local

0.00

* e. Other

0.00

* f. Program Income

0.00

* g. TOTAL

200,000.00

*** 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**☐ a. This application was made available to the State under the Executive Order 12372 Process for review on☐ b. Program is subject to E.O. 12372 but has not been selected by the State for review.☒ c. Program is not covered by E.O. 12372.*** 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**☐ Yes☒ No

If "Yes", provide explanation and attach

Add Attachment

Delete Attachment

View Attachment

21. *By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

☒ ** I AGREE

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix:

* First Name:

Stephen

Middle Name:

R.

* Last Name:

Smith

Suffix:

* Title:

Executive Director

* Telephone Number:

315-866-3000

Fax Number:

* Email:

ssmith@herkimercountyida.org

* Signature of Authorized Representative:

STEPHEN R SMITH

* Date Signed:

11/15/2017